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Multilateral Fund for the Implementation of  
the Montreal Protocol

***POLICIES, PROCEDURES, GUIDELINES AND  
CRITERIA***

(As at May 2019)

**PART VIII: COUNTRY PROGRAMME**

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**VIII. COUNTRY PROGRAMME****PROCEDURES FOR THE DEVELOPMENT OF A COUNTRY PROGRAMME**

The Executive Committee shall invite each Article 5 Party wishing to receive support from the Multilateral Fund to develop a country programme and projects in accordance with paragraph 10(g) of the Terms of Reference of the Committee.

*(UNEP/OzL.Pro/ExCom/3/18/Rev.1 Annex III (section II.1.1)).*

The Fifth Meeting of the Executive Committee decided that country programmes should be viewed as flexible instruments which set out the framework for that country's actions to meet the requirements of the Montreal Protocol. They should be prepared by countries to the extent possible based on the guidance approved by the Executive Committee.

*(UNEP/OzL.Pro/ExCom/5/16, para. 28a).*

*(Supporting document: UNEP/OzL.Pro/ExCom/5/16 Annex III).*

The Tenth Meeting of the Executive Committee requested Article 5 Parties and the Implementing Agencies collaborating with them to give priority to early completion of country programmes, and to strive to submit completed country programme documents within nine months of the disbursement of the funds to the Article 5 Parties for their preparation.

*(UNEP/OzL.Pro/ExCom/10/40, para. 134).*

**Country programme documentation**

In order to standardize the content of all country programmes, the Executive Committee approved a document on procedures for presentation of country programmes and project proposals prepared by the Fund Secretariat as appears in Annex VIII.1).

The country programme is expected to contain, inter alia:

- (a) a review of recent production, imports, applications and use of controlled substances by the main producers, users, and consumers, and links to transnational producers or users (if information is available);
- (b) a description of the institutional framework governing controlled substances (government agencies, NGO's, consumer groups, industry associations);
- (c) a description of policy framework, regulatory and incentive systems;
- (d) a description of government and industry activities in response to the Protocol;
- (e) a statement of strategy for implementation of the Protocol, indicating the respective roles of government, multilateral and bilateral agencies;
- (f) an action plan encompassing investment and technical assistance projects, pre-investment studies, and any policy analysis required;
- (g) a timetable for each activity and for action plan review; and
- (h) a budget and financing programme.

The document has to be submitted with an official letter of transmittal and should also include an executive summary, a country programme evaluation criteria, and a country programme cover sheet.

*(UNEP/OzL.Pro/ExCom/3/18/Rev.1 Annex III (section II.1.2)).*

*(UNEP/OzL.Pro/ExCom/5/16, para. 22-23).*

*(Supporting document: UNEP/OzL.Pro/ExCom/5/16 Annex III).*

The Executive Committee requested distribution of the approved guidelines for preparation of country programmes and project proposals to all Article 5 Parties and Implementing Agencies by the Fund Secretariat. Implementing agencies should apply the guidelines when co-operating with Article 5 Parties.

*(UNEP/OzL.Pro/ExCom/5/16, para. 28c).*

Documentation for country programmes distributed to all Executive Committee members for their consideration and approval might be limited to country programme cover sheets, executive summaries, and Fund Secretariat comments, although the full country programme would be made available upon request.

*(UNEP/OzL.Pro/ExCom/11/36, para. 156.1).*

*(Supporting document: UNEP/OzL.Pro/ExCom/11/34).*

**Country programme update**

The Thirty-first Meeting of the Executive Committee decided:

- (a) to request the Secretariat, in co-operation with the Implementing Agencies, to prepare for the Executive Committee at its Thirty-second meeting a document containing draft guidelines for the preparation of country programme updates, including conditions for the justification for such updates, as well as the specific consideration that needed to be taken into account to ensure that such updates serve not only the national needs, but also the information and planning needs of the Executive Committee;
- (b) to require that all future requests for country programme updates be in conformity with the guidelines to be agreed by the Executive Committee on the basis of the above-mentioned document.

*(UNEP/OzL.Pro/ExCom/31/61, Decision 31/32, para. 54).*

The Thirty-second Meeting of the Executive Committee decided:

- (a) defer consideration of the draft guidelines for preparation of country programme updates until its Thirty-three Meeting;
- (b) invite members to submit to the Secretariat their comments and proposals on the draft guidelines for preparation of country programme updates contained in document UNEP/OzL.Pro/ExCom/32/31;
- (c) request the Secretariat to compile those comments on the draft and circulate them to members prior to the Thirty-three Meeting of the Executive Committee;
- (d) also request the Secretariat to prepare a revised draft, taking into account the comments submitted by Governments and those made at the current Meeting, for submission to the Executive Committee at its Thirty-three Meeting.

*(UNEP/OzL.Pro/ExCom/32/44, Decision 32/68, para. 82).*

*(Supporting document: UNEP/OzL.Pro/ExCom/32/31).*

#### **Informal subgroup to discuss the draft guidelines for preparation of country programme updates**

The Thirty-third Meeting of the Executive Committee decided to establish (at the Thirty-third Meeting), an informal subgroup (composed of representatives of Colombia (facilitator), Dominican Republic, Finland, Germany, India, Japan, Netherlands, Nigeria and the United States of America), with a mandate to discuss the draft guidelines for preparation of country programme updates.

*(UNEP/OzL.Pro/ExCom/33/32, Decision 33/52, para. 79).*

Subsequently, the facilitator of the informal subgroup informed the Executive Committee that emphasis had been placed on clarifying the purpose and implications of the country programme updates with regard to compliance and funding and on viewing country programmes as a tool for countries to assume greater ownership of ODS-reduction strategies under the Montreal Protocol. Given the significance of the guidelines as the platform for the shift to a country-driven approach, the group agreed that more time was required to collect the views of all concerned and outlined steps to achieve that. Therefore, the Executive Committee decided:

- (a) to request the Fund Secretariat to forward a letter to all members of the Executive Committee seeking further comments on documents UNEP/OzL.Pro/ExCom/33/29 and UNEP/OzL.Pro/ExCom/33/29/Add.1;
- (b) also to request replies to the letter within a two-week period and to incorporate the comments contained in those replies into a revised version of the draft guidelines;
- (c) further to request the Secretariat to distribute the revised draft guidelines via e-mail and collect a second round of comments from Executive Committee members. The Secretariat would then prepare a final version of the draft guidelines incorporating all of the comments gathered during the consultation process, and present the document for consideration at the Thirty-fourth Meeting of the Executive Committee.

*(UNEP/OzL.Pro/ExCom/33/32, Decision 33/55, paras. 88-90).*

*Ssupporting documents: UNEP/OzL.Pro/ExCom/33/29 and 33/29/Add.1).*

#### **Guidelines for preparation of country programme updates**

The Executive Committee attaches great importance to an effective national strategy in the efforts of the Article 5 countries to comply with their obligations under the Montreal Protocol. National compliance strategies would enable the Executive Committee to target the Funds resources to national compliance needs. At the same time, the Committee is also cognizant that many of the existing country programmes which were prepared in the early days of the Multilateral Fund need to be updated to serve as national compliance strategies, especially in regard to the comprehensiveness and accuracy of ODS consumption/production data, and the enactment and implementation of regulatory control of ODS supply and demand by governments.

The country programme update should provide a strategy for achieving compliance by each Article 5 country concerned with, at a minimum, each of the reduction steps for each of the substances controlled by the Montreal Protocol. It could also be the basis for designing a performance-based sector-wide or substance-wide national phase-out agreement with the Executive Committee, either according to the phase-out schedule of the Montreal Protocol or an accelerated schedule decided upon by the government concerned. The term country programme update is used for its natural linkage to the existing country programmes, and in essence the update should constitute the national compliance strategy of the country in the compliance period. With this in mind, the update should:

- provide an action plan which delineates the activities and the time schedule needed to implement the strategy for achieving compliance, highlighting the inter-relations between intended policies and the specific activities;
- establish the context for seeking project level and sector plan funding from the Multilateral Fund by showing the impact of ODS reductions from requested projects and sector plans on the remaining ODS consumption eligible for funding for the country, and means of sustaining the reductions to be achieved from new funding received;
- indicate the sources of funding for the planned activities (national sources and the Multilateral Fund) and the type of funding from either source (investment or non-investment).

In addition to the above, the other points set out in document UNEP/OzL.Pro/ExCom/34/54 should be taken into account.

The Executive Committee recognizes that the responsibility to update the country programme should be that of the governments of the Article 5 countries, which should rally the support of key ministries and constituencies in the exercise, as well as relevant national stakeholders. While Implementing Agencies will continue to be requested by governments to provide assistance, it should be the governments who are clearly in charge of the process of developing the update.

Funding will be provided to countries which need to update their country programmes, however, such funding should be rationalized with funding provided for the preparation of refrigerant management plans (RMPs).

Country programme updates are not mandatory and nothing prevents the submission of projects under existing rules, however country programme updates should be considered in the light of the framework for strategic planning and are useful for planning purposes.

*(UNEP/OzL.Pro/ExCom/35/67 paras. 121 to 125).*

In view of the above considerations, the Executive Committee decided at its Thirty-fifth Meeting:

- (a) to encourage Article 5 countries to take advantage of the opportunity of updating the country programmes to prepare the national strategy for complying with the Montreal Protocol obligations;
- (b) to provide funding for national efforts in updating the country programme. Taking into consideration Decision 31/48 of the Executive Committee on funding of refrigerant management plans, funding of country programme update should be linked with the funding of RMPs. Specifically:
  - (i) in countries where the remaining controlled substance consumed is confined to CFC refrigeration servicing and the RMP has been funded, updating the country programme/RMP should be accomplished by the countries concerned when requesting the additional funding of 50 per cent of their original RMP funding level. Funding should be provided to enable countries to undertake this exercise;
  - (ii) in countries where the preparation of the RMP or a strategy for the refrigeration sector has been funded and is under way, supplementary funding for country programme update should cover CFC consumption in other sectors and controlled substances other than CFCs;
  - (iii) in countries where the RMP has yet to be prepared, funding of country programme update should be combined with the preparation of the RMP.
- (c) to request that country programme updating be completed within 12 months, on average, from the time that funding is approved by the Executive Committee;
- (d) to encourage Article 5 countries to take advantage of the opportunity of updating the country programme to develop performance-based sector-wide or substance-wide phase-out agreements;

- (e) to adopt the Format for Country Programme Update included in Annex VIII.2 to the present report, which could be augmented by countries according to their strategic planning needs;
- (f) to invite Implementing Agencies, in finalizing their 2002 business plans, to incorporate to the extent possible, requests for assistance for those Article 5 countries seeking to prepare country programme updates at this time.

*(UNEP/OzL.Pro/ExCom/35/67, Decision 35/58, para. 126).*

*(Supporting document: UNEP/OzL.Pro/ExCom/35/62).*

The Thirty-fifth Meeting of the Executive Committee also decided that countries shall be provided with country programme update funding that is 75 per cent of the level originally provided to them to do country programmes. Low-volume consuming countries that have done RMPs will be given 50 per cent of the funding provided to develop their original RMP to do RMP updates, but will not be given funding to do country programme updates. New country programmes should, consistent with existing Executive Committee guidelines, continue to include RMPs.

*(UNEP/OzL.Pro/ExCom/35/67, Decision 35/57, para. 112(b)).*

#### **ODS consumption data**

The Thirteenth Meeting of the Executive Committee agreed that Implementing Agencies should be requested to expand the scope of data collection during the country programme preparation to cover the base years for respective ODS. The Committee also agreed that Implementing Agencies should also advise Article 5 Parties to report their data to the Ozone Secretariat as required by Article 7 of the Protocol following completion of the country programmes.

*(UNEP/OzL.Pro/ExCom/13/47 (paras. 98, 99)).*

#### **Discrepancy between the data reported by a Party to the Ozone Secretariat and the data presented by the Party to the Executive Committee**

The Seventeenth Meeting of the Executive Committee decided:

- (a) that where ODS data contained in a project submitted differed significantly from the data in a country programme, countries should update the ODS consumption figures in their country programmes for that sector, and submit with the project request the revised figures and a detailed explanation of the reasons for the variation;
- (b) that it would consider requests for additional funding made necessary by this updating requirement.

*(UNEP/OzL.Pro/ExCom/17/60, Decision 17/2 para. 10).*

The Seventh Meeting of the Parties accepted the following recommendations of the Implementation Committee:

- (a) that the Secretariat should be entitled to seek clarification on data reported under Article 7 if there is a discrepancy with the data in the country programme of the country concerned; and
- (b) that it should be established through these clarifications, which are the best available and most accurate data. Should the clarification not result in an agreement, the data provided by the Party to the Secretariat should be used.

*(UNEP/OzL.Pro.7/12 Decision VII/20).*

The Nineteenth Meeting of the Executive Committee decided:

- (a) that the data submitted to the Ozone Secretariat and those submitted to the Fund Secretariat should be reconciled; and
- (b) that discrepancies in data provided by Parties to the Ozone Secretariat and to the Secretariat of the Multilateral Fund should be submitted to the Executive Committee.

*(UNEP/OzL.Pro/ExCom/19/64, Decision 19/28, para. 52).*

The Twentieth Meeting of the Executive Committee decided:

- (a) to note the statement by the representative of the Ozone Secretariat that the formats for reporting data under Article 7 of the Protocol could be revised only by a decision of the Meeting of the Parties.
- (b) to request the Fund Secretariat to prepare for the Committee's consideration at its Twenty-second Meeting a revised paper that would clearly describe the two parallel streams of data reporting that existed under the Montreal Protocol, bearing in mind any decision that might be taken on the matter by the Eighth Meeting

of the Parties;

- (c) that there was a need to explore ways to reconcile and harmonize the two streams in order, on the one hand, to avoid duplication of work and reporting, and, on the other, to ensure greater transparency of data provided.

*(UNEP/OzL.Pro/ExCom/20/72, Decision 20/37, para. 53).*

*(Supporting document: UNEP/OzL.Pro/ExCom/20/57).*

The Eleventh Meeting of the Parties decided:

1. to note the improvement in the timely submission of data in accordance with Article 7 of the Protocol;
2. to note that Parties are to submit data by 30 September of the following year in accordance with their obligations under Article 7;
3. to urge all Parties to introduce licensing systems in accordance with the provisions of decision IX/8 and Article 4B of the Protocol to facilitate accuracy in data submission under Article 7;
4. to note that data collection on ozone-depleting substances sectors is important in assisting a Party to meet its obligations under the Protocol and that the Parties might wish to consider the burden of collecting sector data and other data required in the context of the Montreal Protocol at a future meeting;
5. to note that, because of the significant improvement in the timely submission of data, the Implementation Committee had been able in 1999 to review the control status of Parties for the previous year, 1998. In earlier years, the Implementation Committee had reviewed only the control status for two years prior. Accordingly, decide to request that the Implementation Committee begin a full review of data for the year immediately prior to the Meeting of the Parties beginning in 2000;
6. to note that many Parties with economies in transition have established a phase-out plan with specific interim benchmarks in co-operation with the Global Environment Facility;
7. to urge those Parties with economies in transition mentioned in paragraph 6 above to submit to the Secretariat the phase-out plans with specific interim benchmarks developed with the Global Environment Facility in accordance with requests made at the Tenth Meeting of the Parties.

*(UNEP/OzL.Pro.11/10, Decision XI/23).*

The Fourteenth Meeting of the Parties decided:

1. to note that the implementation of the Protocol by those Parties that have reported data is satisfactory;
2. to note with regret that 49 Parties out of the 180 that should have reported data for 2001 have not reported to date;
3. to note further that lack of timely data reporting by Parties impedes effective monitoring and assessment of Parties' compliance with their obligations under the Montreal Protocol;
4. to strongly urge Parties to report consumption and production data as soon as the figures are available, rather than waiting until the final deadline of 30 September every year;
5. to remind Parties operating under Article 5(1) that for the purposes of reporting data, under the provisions of Article 2A paragraph 2 and Article 5 paragraph 8 bis (a) the current control period extends from 1 July 2001 to 31 December 2002.

*(UNEP/OzL.Pro.14/9, Decision XIV/13).*

### **Baseline year of the Montreal Protocol**

The Twenty-second Meeting of the Executive Committee decided:

- (a) to take note of the paper on the new format for reporting data on progress of implementation of country programmes to the Executive Committee and the paper on reconciling and harmonizing the data streams that produce discrepancies between data reported to the Fund and Ozone Secretariats;
- (b) to adopt, beginning in 1998, the baseline year of the Montreal Protocol as the baseline year for the Multilateral Fund;
- (c) to use, until it is feasible to use the baseline year of the Montreal Protocol as the baseline year for the Multilateral Fund, the baseline data from the country programme, the consumption data from the previous year and the unconstrained growth indicated in the country programme, while making it clear in the report that the latter figure is an extrapolation made at an early stage of the ODS phase-out programme in the

country concerned.

*(UNEP/OzL.Pro/ExCom/22/79/Rev.1, Decision 22/68, para. 92(a), (b), (c)).*

**Projects in country programmes**

A country programme approved by the Executive Committee shall serve as a basis for project preparation and further co-operation between the Party and the Implementing Agencies. However, individual projects prepared prior to the completion of a country programme shall also qualify for funding if consistent with project eligibility criteria approved by the Executive Committee.

*(UNEP/OzL.Pro/ExCom/3/18/Rev.1 Annex III, Section II.1.5).*

The Thirteenth Meeting of the Executive Committee agreed that projects that were developed as part of the process of country programme preparation and included in the country programmes for approval by the Executive Committee should first be discussed with the designated Implementing Agency and, where necessary, a technical review obtained from the agency and attached to the project before submission.

*(UNEP/OzL.Pro/ExCom/13/47, para. 100).*

**MONITORING PROGRESS IN IMPLEMENTATION OF COUNTRY PROGRAMMES**

Governments should monitor the progress being made in reducing ODS consumption in line with their plans set out in the country programme, and should periodically review the effectiveness of the measures being taken. The Executive Committee requested Article 5 Parties to present annually information to the Committee on progress being made in the implementation of their country programmes. If it becomes necessary to change the action plan in order to maintain progress, an up-dated country programme should be submitted to the Secretariat for further consideration by the Committee.

*(UNEP/OzL.Pro/ExCom/5/16, paras. 22-23).*

*(UNEP/OzL.Pro/ExCom/10/40, para. 135).*

*(Supporting document: UNEP/OzL.Pro/ExCom/5/16 Annex III).*

The Fifty-second Meeting of the Executive Committee decided:

- (d) to request UNEP's Compliance Assistance Programme to allocate time during its regional network meetings for additional training on the system for reporting progress on country programme implementation and to provide feedback on the experience gained by the initial users of the web-based system;
- (e) to reconfirm existing Executive Committee guidelines regarding submission of country programme implementation data by 1 May each year; and
- (f) to note that country programme implementation data had to be submitted in advance of the last meeting of the year and subsequent meetings as a precondition for the approval and release of funding for projects.

*(UNEP/OzL.Pro/ExCom/52/55, Decision 52/5 para. 48).*

*(Supporting document: UNEP/OzL.Pro/ExCom/52/7/Rev.1).*

The Sixty-third Meeting of the Executive Committee decided:

- (a) To note:
  - (ii) That only 11 country programme (CP) reports for the year 2009 had been submitted through the web-based system, which had been initiated on 25 April 2007;
- (b) To request:
  - (i) The Secretariat to consult with the implementing agencies in order to ascertain why so few countries had submitted CP reports through the web-based portal and to report back to the Committee at its 64th meeting

*(UNEP/OzL.Pro/ExCom/63/60, Decision 63/4 para. 34).*

*(Supporting document: UNEP/OzL.Pro/ExCom/63/6).*

The Seventy-sixth meeting of the Executive Committee decided:

- (a) To note:
  - (i) The document on country programme data and prospects for compliance contained in UNEP/OzL.Pro/ExCom/76/9;
  - (ii) That 108 of the 138 countries that had submitted 2014 country programme data had done so using the web-based system;
  - (iii) With appreciation, that 18 countries had submitted 2015 data eight weeks prior to the first meeting of

the year in line with decision 74/9(b)(iv);

(iv) The explanations provided by UNDP, UNEP and UNIDO on possible data discrepancies pursuant to decision 75/17(b)(ii);

*UNEP/OzL.Pro/ExCom/76/66, Decision 76/7, para 54(a)*  
*(Supporting document: UNEP/OzL.Pro/ExCom/76/9).*

The Seventy-seventh meeting of the Executive Committee decided:

(a) To note:

(i) The document on country programme (CP) data and prospects for compliance contained in UNEP/OzL.Pro/ExCom/77/18;

(ii) That 109 of the 131 countries that had submitted 2015 CP data had done so using the web-based system;

(iii) The explanations provided by UNDP and UNEP on the uses of HCFCs as process agents pursuant to decision 76/7(e);

(b) To request:

(i) UNEP to continue assisting the Government of Mauritania in finalizing the amendment of its licensing system to include the accelerated control measures for HCFCs, and the Government of Burundi in finalizing the formal HCFC quota system, and to report to the 79th meeting on its efforts in that respect;

(ii) Relevant bilateral and implementing agencies to assist Article 5 countries in addressing data discrepancies between the 2015 CP and Article 7 reports; and

(iii) The Secretariat to send letters to the governments of countries with outstanding 2014 and 2015 CP data reports, urging them to submit the reports as soon as possible, noting that, without them, the relevant analyses of ODS consumption and production levels could not be undertaken by the Secretariat.

*(UNEP/OzL.Pro/ExCom/77/76, Decision 77/15, para 72(a)-(b))*  
*(Supporting document: UNEP/OzL.Pro/ExCom/77/18).*

The Seventy-ninth Meeting of the Executive Committee decided:

(a) To note:

(i) Documents UNEP/OzL.Pro/ExCom/79/5 and Corr.1 on country programme (CP) data and prospects for compliance;

(ii) That 82 countries had submitted 2016 CP data, 75 of them using the web based system;

(iii) With concern, that 62 countries had not submitted 2016 CP data as at 16 May 2017, and that the Secretariat had therefore been unable to present an analysis on HCFC production and consumption for 2016;

(b) To request:

(i) UNEP to report to the 80th meeting on the finalization of the formal HCFC quota system by the Government of Burundi, and the amendment of the licensing system on the accelerated control measures for HCFCs by the Government of Mauritania;

(ii) The Secretariat to send letters to the governments of countries with outstanding 2014, 2015 and 2016 CP data reports urging them to submit the reports immediately;

(iii) The relevant implementing agencies to continue assisting the Governments of Morocco, Nigeria and Turkey in clarifying data discrepancies between 2015 CP data and Article 7 data and to report back to the 80th meeting; and

(c) To request the Secretariat to include in the "Overview of issues identified during project review" document issued at each meeting a summary of the prices of the controlled substances and the alternatives to be phased in, as communicated by enterprises requesting funding in any new project proposals, including clarification of any differences between those and the prices reported in the CP data reports.

*(UNEP/OzL.Pro/ExCom/79/51, Decision 79/4, para 31)*  
*(Supporting document: UNEP/OzL.Pro/ExCom/79/4).*

The Eightieth Meeting of the Executive Committee decided:

(a) To note:

(i) The document on country programme (CP) data and prospects for compliance contained in document

UNEP/OzL.Pro/ExCom/80/8;

- (ii) That 139 countries had submitted 2016 CP data, 120 of them using the web based system;
- (iii) With concern that five countries (Algeria, Guinea Bissau, Kuwait, Uganda and Yemen) had not submitted 2016 CP data as at 15 November 2017;

(b) To request:

- (i) The Secretariat to send letters to the governments of countries with outstanding 2014, 2015 and 2016 CP data reports, urging them to submit the reports immediately; and
- (ii) Relevant implementing agencies to continue assisting the relevant government in clarifying discrepancies between 2015 CP data and Article 7 data (Morocco), and between 2016 CP data and Article 7 data (South Africa, the Syrian Arab Republic and Turkey) and to report back to the 81<sup>st</sup> meeting.

*(UNEP/OzL.Pro/ExCom/80/59, Decision 80/6, para 41)*

*(Supporting document: UNEP/OzL.Pro/ExCom/80/8).*

The Eighty-first Meeting of the Executive Committee decided:

(a) To note:

- (i) The information on country programme data (CP) and prospects for compliance contained in documents UNEP/OzL.Pro/ExCom/81/6 and Corr.1;
- (ii) That 90 countries had submitted 2017 CP data, 84 of them using the web-based system;
- (iii) With concern that, as at 7 May 2018, Yemen had not submitted 2016 CP data;

(b) To request:

- (i) The Secretariat to send letters to the governments of countries with outstanding 2014, 2015 and 2016 CP data reports, urging them to submit their reports immediately;
- (ii) Relevant implementing agencies to continue assisting the respective governments in clarifying the discrepancies between the 2015 CP data and Article 7 data for Morocco and between the 2016 CP data and Article 7 data for the Syrian Arab Republic, and to report back to the 82<sup>nd</sup> meeting.

*(UNEP/OzL.Pro/ExCom/81/58, Decision 81/4(a) and (b)(i)-(ii)).*

*(Supporting document: UNEP/OzL.Pro/ExCom/81/6 and Corr.1).*

The Eighty-second Meeting of the Executive Committee decided:

(a) To note the information on country programme (CP) data and prospects for compliance contained in document UNEP/OzL.Pro/ExCom/82/9, including:

- (i) That 141 countries had submitted 2017 CP data reports, 121 of them using the web-based system;
- (ii) That, as at 10 October 2018, CP data reports had not been submitted for 2013 (Central African Republic), 2014 (Yemen), 2015 (Yemen), 2016 (Yemen) and 2017 (Central African Republic and Yemen);

(b) Further to note that South Sudan had submitted its 2017 CP data reports after the issuance of document UNEP/OzL.Pro/ExCom/82/9; and

(c) To request:

- (i) The Secretariat to send letters to the governments of countries with outstanding CP data reports for 2013 (Central African Republic), 2014 (Yemen), 2015 (Yemen), 2016 (Yemen) and 2017 (Central African Republic and Yemen), urging them to submit their reports as soon as possible; and
- (ii) Relevant implementing agencies to continue assisting the Government of the Syrian Arab Republic in clarifying the discrepancies between 2016 CP data and Article 7 data and to report back at the 83<sup>rd</sup> meeting.

*(UNEP/OzL.Pro/ExCom/82/72, Decision 82/7).*

*(Supporting document: UNEP/OzL.Pro/ExCom/82/9).*

The Eighty-third Meeting of the Executive Committee decided:

(a) To note the information on country programme data and prospects for compliance contained in document UNEP/OzL.Pro/ExCom/83/7, including:

- (i) That 143 countries had submitted 2017 country programme data, 122 of them using the web-based system;
- (ii) That, as at 9 April 2019, Yemen had not submitted country programme data for the years 2014 to 2017;
- (b) Further to note that the Central African Republic had submitted its country programme data report for 2013, and an additional 70 countries for 2018 after the issuance of document UNEP/OzL.Pro/ExCom/83/7;
- (c) To request the Secretariat to send a letter to the Government of Yemen regarding the outstanding country programme data reports for the years 2014, 2015, 2016 and 2017, urging it to submit those reports as soon as possible.

*(UNEP/OzL.Pro/ExCom/83/48, Decision 83/6(a)-(c)).*

*(Supporting document: UNEP/OzL.Pro/ExCom/83/7).*

### **Format to report progress**

The Thirteenth Meeting of the Executive Committee decided:

- (a) to adopt the format presented in Annex VIII.3 for presentation of information on progress of implementation of country programmes and to request Parties operating under paragraph 1 of Article 5, using the format, to present the annual information on the progress of implementation of their country programmes in accordance with the decision taken at its Tenth Meeting;
- (b) the information should cover the progress of implementation for the period 1 January to 31 December and should be forwarded to the Fund Secretariat not later than three months after the end of the year to which the information relates;
- (c) where a country programme is approved five months or less before the end of the year, initial information should be provided after the end of the following year for the period starting from the date of approval of the country programme;
- (d) starting from the Thirteenth Meeting, decisions on each approved country programme should include a requirement for presenting information annually on progress of implementation of the country programme according to the above decisions.

*(UNEP/OzL.Pro/ExCom/13/47 (paras. 192-193)).*

*(Supporting document: UNEP/OzL.Pro/ExCom/13/46).*

*(UNEP/OzL.Pro/ExCom/13/47 Annex II).*

The Seventeenth Meeting of the Executive Committee requested Governments to present annually to the Executive Committee information on progress being made in the implementation of the country programme, in accordance with the decision of the Executive Committee on implementation of country programmes.

*(UNEP/OzL.Pro/ExCom/17/60, Decision 17/34 para. 57).*

The Twentieth Meeting of the Executive Committee, after considering the updated report on the progress of implementation of country programmes approved between February 1992 and December 1995, decided:

- (a) to take note of the updated report;
- (b) to note that the Secretariat would revise the document to reflect the additional progress reports submitted by the following countries: Brazil, Botswana, Colombia, Ecuador, Guatemala, Islamic Republic of Iran, and Philippines;
- (c) to urge countries that had to report on the implementation of their country programmes to ensure that the reports were submitted to the Fund Secretariat by 31 March of each year;
- (d) to request the Secretariat to prepare a document on the implications of using different baseline years;
- (e) to invite members of the Executive Committee to submit to the Fund Secretariat in writing proposals on improving the presentation of the implementation data so that the Secretariat could propose a new format to the Committee.

*(UNEP/OzL.Pro/ExCom/20/72, Decision 20/36 para. 52).*

*(Supporting document: UNEP/OzL.Pro/ExCom/20/56).*

The Twenty-second Meeting of the Executive Committee decided:

- (d) to note the new data formats on implications of using different baseline years, which could be used as guidance for countries that wished to report information on progress in the implementation of their country

programmes additional to the current requirements [NOTE, These formats have been replaced with new formats as per decision 46/39];

- (e) to adopt the date of 1 May of each year as the new deadline for submission of data on the progress of implementation of country programmes for the preceding year. The new deadline would take effect in 1998.

*(UNEP/OzL.Pro/ExCom/22/79/Rev.1, Decision 22/68, para. 92 (d), e)).*

The Forty-sixth Meeting of the Executive Committee decided:

- (a) to replace the existing format for reporting on country programmes by the revised format contained in the annex [of the final report of the Forty-sixth Meeting of the Executive Committee][NOTE: These formats have been replaced with new formats as per decision 60/4(b)(iv)];
- (b) to request the National Ozone Units, starting in 2006, to report on the implementation of country programmes using the revised format;
- (c) to request the Secretariat to incorporate the data collected into the annual analysis forecasting the compliance potential of Article 5 countries; and
- (d) to review the implementation of the revised format at the last Meeting of the Executive Committee in 2007.

*(UNEP/OzL.Pro/ExCom/46/47, Decision 46/39, para. 171).*

*(Supporting document: UNEP/OzL.Pro/ExCom/46/47 Annex XIV).*

The Fiftieth Meeting of the Executive Committee decided:

- (c) to request Article 5 countries to submit complete country programme data using the new format; and
- (d) to urge the Secretariat to provide a means of entering country programme data on its website, together with an explanatory manual on how to complete the new country programme data format to improve consistency in reporting.

*(UNEP/OzL.Pro/ExCom/50/62, Decision 50/4 para. 46(c) and (d)).*

*(Supporting document: UNEP/OzL.Pro/ExCom/50/6).*

The Fifty-fourth Meeting of the Executive Committee decided:

- (f) to request that information on all ODS, including HCFCs and their alternatives, be included in country programme data reports;

*(UNEP/OzL.Pro/ExCom/54/59, Decision 54/4, para 40 (f)).*

*(Supporting document: UNEP/OzL.Pro/ExCom/54/5).*

The Sixtieth Meeting of the Executive Committee decided:

- (iv) The Secretariat to modify the country programme data reporting format to include information relevant to the HCFC phase-out, including whether HCFC control measures were included in licensing systems [see Annex VIII.4];

*(UNEP/OzL.Pro/ExCom/60/54, Decision 60/4 para 46(b)(iv)).*

*(Supporting document: UNEP/OzL.Pro/ExCom/60/6).*

The Seventy-fourth Meeting of the Executive Committee decided:

- (b)(iv) Article 5 countries to submit CP data reports eight weeks prior to the first meeting of the Executive Committee of the year, if possible, and no later than 1 May, on the understanding that the deadlines for CP data submission would need to be revisited in the event that the Executive Committee were to decide to revert to holding three meetings a year; and

- (b)(v) The Secretariat to present to the 75th meeting a proposal for an updated CP report format, taking into account discussions held on the format at its 74th meeting.

*(UNEP/OzL.Pro/ExCom/74/56, Decision 74/9, para 66 (b)).*

*(Supporting document: UNEP/OzL.Pro/ExCom/74/11).*

The Seventy-fifth Meeting of the Executive Committee decided:

- (c) That the existing CP data report format would be used for the reporting of 2015 CP data; and
- (d) To request the Secretariat to prepare a revised CP data report format for submission to the 76th meeting, taking into account the issues raised in the discussions at the 75th meeting.

*(UNEP/OzL.Pro/ExCom/75/85, Decision 75/17, para 109(c) and (d)).  
(Supporting document: UNEP/OzL.Pro/ExCom/75/19).*

The Seventy-sixth meeting of the Executive Committee decided:

- (c) To continue using the existing country programme data report format, noting that:
  - (i) Section B on regulatory, administrative and supportive actions was no longer needed, although such data might be needed if there were further adjustments or chemicals added;
  - (ii) Section C on HCFC quotas issued and prices of ODS and alternatives (where available) was still relevant, although information on training and recovery, recycling and reuse was no longer needed;
  - (iii) Section D on the status of implementation of the licence and quota system (qualitative assessment of operation of the HPMP) should continue to be provided, but other qualitative information in that section was no longer necessary;
- (d) To consider revising the country programme data report format at a future meeting, on the basis of the outcome of the surveys of ODS alternatives and the discussions on the HFC amendment; and
- (e) To request the Secretariat to clarify the uses of HCFCs as process agents reported in Tables 9 to 11 of the report on country programme data and prospects for compliance (UNEP/OzL.Pro/ExCom/76/9), and to provide an update to the 77th meeting.

*UNEP/OzL.Pro/ExCom/76/66, Decision 76/7, para 54(c)-(d)  
(Supporting document: UNEP/OzL.Pro/ExCom/76/9).*

The Eighty-first Meeting of the Executive Committee decided:

- (b) To request:
  - (iii) The Secretariat to prepare a draft of a revised CP data report format, incorporating Annex F substances, for consideration by the Executive Committee at its 83<sup>rd</sup> meeting, taking into account the revised forms for reporting data under Article 7 of the Montreal Protocol to be considered by the Thirtieth Meeting of the Parties.

*(UNEP/OzL.Pro/ExCom/81/58, Decision 81/4(b)(iii)).  
(Supporting document: UNEP/OzL.Pro/ExCom/81/6 and Corr.1).*

The Eighty-third Meeting of the Executive Committee decided:

- (d) To invite Executive Committee members to provide comments on the draft revised format for country programme data reports for 2020 and beyond contained in Annex III of document UNEP/OzL.Pro/ExCom/83/7 by 1 August 2019; and
- (e) To request the Secretariat to prepare, for the 84<sup>th</sup> meeting, an updated draft revised format for country programme data reports and the draft Practical Manual for Country Programme Data Reporting, taking into account the comments provided by Executive Committee members in line with sub-paragraph (d) above, and the discussions at the 83<sup>rd</sup> meeting.

*(UNEP/OzL.Pro/ExCom/83/48, Decision 83/6(d)-(e)).  
(Supporting document: UNEP/OzL.Pro/ExCom/83/7).*



**ANNEX VIII.1: PROCEDURES FOR PRESENTATION OF COUNTRY PROGRAMMES AND PROJECT PROPOSALS**

In order to standardize all country programmes, the Fund Secretariat has prepared detailed standard format for an idealized country programme, to be used as the basis for preparation of a country programme, thus obviating the need to develop terms of reference for country programmes in each of Article 5 countries.

The document is subdivided into four main sections:

- I. Introductory part;
- II. Format and Content of a Country Programme;
- III. Country Programme Evaluation Criteria; and
- IV. Country Programme Cover Sheet.

Sections I and II describe the procedure and guidelines for the preparation and presentation of a country programme. Sections III and IV are intended for the use of the Fund Secretariat.

**I. INTRODUCTORY PART****1. Introduction**

This paper explains the purpose of the Country Programme to the governments of Parties operating under paragraph 1 of Article 5 of the Montreal Protocol on Substances that deplete the Ozone Layer (that is a developing country with an annual consumption of the substances in Annex A of less than 0.3 kg per capita).

**2. The Multilateral Fund**

The Montreal Protocol (as amended in June 1990) provides at Article 10 for a financial mechanism to assist "Article 5 countries" to comply with the control measures of the Protocol. Currently, this has been implemented as the Interim Multilateral Fund to operate for a period of three years to December 1993.

**3. Assistance from the Fund**

The Multilateral Fund provides assistance to Article 5 countries in the form of technical assistance, grants or loans, or in-kind assistance from donor countries, to meet the incremental costs of complying with the Protocol. "Incremental costs" are explained in Annex IV, Appendix I of the report of the Second Meeting of the Parties to the Protocol.

**4. The Country Programme**

As a first step towards obtaining assistance from the Fund, the party is invited to submit a "Country Programme" to the Fund's Executive Committee in accordance with paragraph 10(g) of Appendix II of Annex IV to the Report of the Second Meeting of the Parties. However, individual projects proposed prior to the submission of a Country Programme will qualify for assistance if consistent with the project eligibility criteria approved by the Executive Committee.

The Country Programme presents a commitment by the government to take appropriate actions to ensure compliance with the control measures of the Protocol. A standard contents list is available and is provided to Parties as guidance in preparing their country programmes. The key features of the Country Programme are:

- the action plan;
- a statement of the government's commitment to implement the Action Plan, and to monitor the extent of its success in complying with the Protocol; and
- an indication of the projects for which the government is likely to seek assistance from the Fund.

The Protocol recognizes that the circumstances of Article 5 countries, and the priorities of governments, vary. In the Country Programme, the government should seek to state clearly its relevant policies and priorities, and its Action Plan will be expected to be consistent with these.

The Country Programme should demonstrate that the chosen Action Plan is cost-effective. It is therefore necessary to estimate the incremental costs which will be incurred by the country in complying with the Protocol.

**5. Use of the Country Programme**

The Country Programme provides the basis on which the Fund can give assistance to the country.

Applications for assistance with specific projects, should be made to the Fund Secretariat and/or the Implementing Agencies and should be consistent with the actions and projects identified in the Country Programme. The approval of projects where the value of the assistance applied for exceeds US\$ 500,000 is the responsibility of the Executive Committee.

Governments should monitor the progress being made in reducing ODSs consumption in line with their plans set out in the Country Programme, and should periodically review the effectiveness of the measures being taken. If it becomes necessary to change the Action Plan in order to maintain progress, an up-dated Country Programme should be submitted to the Fund Secretariat for further consideration by the Executive Committee.

## **II. FORMAT AND CONTENT OF A COUNTRY PROGRAMME**

Transmittal Letter

Executive Summary

### **1. INTRODUCTION**

1.1 Purpose

1.2 Status

1.3 Assistance Received

### **2. CURRENT SITUATION**

2.1 Current and Forecast Consumption of ODSs

2.2 Industry Structure

2.3 Institutional Framework

2.4 Policy Framework

2.5 Government and Industry Responses to the Protocol

### **3. IMPLEMENTING PHASE-OUT**

3.1 Strategy Statement by Government

3.2 Action Plan

3.3 Roles in Implementing the Strategy

3.4 Timetable and Consumption Implications

3.5 Budget and Financing Programme

3.6 Monitoring Arrangements

**Transmittal Letter**

Address to:

Secretariat of the Interim Multilateral Fund for  
the Implementation of the Montreal Protocol.

For the attention of: Chief Officer

Contents should include:

- the identity of the Country and the lead Government Agency submitting the Country Programme;
- the country's position under the Montreal Protocol (e.g., the country is a Party to the Protocol and is operating under paragraph 1 of Article 5);
- a statement of government's commitment to implementing the actions contained in the Country Programme in order to comply with the Protocol, explaining where this commitment is recorded;
- a statement of government's intention to monitor compliance with the Protocol, to take further or different actions if necessary, to update the Country Programme accordingly, and to submit this to the Fund's Executive Committee.

**COUNTRY PROGRAMME****1. INTRODUCTION****1.1 Purpose**

Record the purpose of the Country Programme including:

- it is a reflection of the commitment of the government to achieve compliance with the obligations as a party to the Protocol;
- it records and presents the information and analysis from which the Action Plan in the Country Programme has been developed;
- it provides the framework within which assistance from the Fund is provided. Applications to the Fund for assistance with specific projects should demonstrate the project's consistency with the Country Programme;
- it provides the basis for monitoring the extent to which the Action Plan is being followed and its effectiveness in reducing the consumption of Ozone Depleting Substances as planned in the Country Programme.

**1.2 Status**

Describe the status of the Country Programme. This could cover:

- which organization or agency took the lead in preparing it;
- which entity or forum in government approved the Country Programme and agreed to implement it, quoting the approval wording;
- costs of preparation of the Country Programme;
- whether the country study exists and is incorporated into the country programme.

**1.3 Assistance Received**

Record in this section the sources and the nature of all assistance received in preparing the Country Programme. Sources of assistance include:

- the Fund's Implementing Agencies (UNEP, UNDP and the World Bank, others);
- companies and industry groupings;
- non-governmental organizations;
- government departments and agencies;

- bilateral, multilateral and regional sources.

## 2. CURRENT SITUATION

### 2.1 Current and Forecast Consumption of ODSs

#### 2.1.1 Current Consumption

Provide data or estimates of the current (1991 if possible) consumption of each ODSs, in tonnes, analyzed by substance, and analyzed for each substance by source and by user sector. If possible, the attached tables should be used to present these data. The following must be covered (Use Table 2.1):

- all controlled substances, namely:
  - Annex A Group 1: CFCs 11, 12, 113, 114, 115;
  - Annex A Group 2: Halons 1211, 1301, 2402;
  - Annex B Group 1: CFCs 13, 111, 112, 211, 212, 213, 214, 215, 216, 217;
  - Annex B Group 2: Carbon tetrachloride;
  - Annex B Group 3: 1, 1, 1-trichloroethane (methylchloroform).
- all sources, namely:
  - production;
  - imports;
  - exports
- all uses, including (use Table 2.2):
  - refrigeration (domestic refrigerant, industrial refrigerant, and refrigerants for water coolers, bottle and walk-in coolers, ice candy machines, cold storage units);
  - air conditioning (including room a/c, packaged a/c, central a/c - reciprocating and centrifugal, mobile a/c - for cars, buses, vans, trains, ships);
  - foams (flexible polyurethane, rigid polyurethane, phenolic foam, polyoleofinic foam, polystyrene);
  - aerosols (inhaled pharmaceuticals, bottle aerosols, can aerosols);
  - cleaning (vapour degreasing for electronics, computer hard disks, metals, and metal dip cleaning);
  - fire fighting (portable units, fixed flooding units);
  - process solvents (pesticides, pharmaceuticals, industrial paint manufacture).
- all applications, including:
  - in recharging existing products;
  - in chemical or manufacturing processes;
  - as feedstock.
- all recovered and recycled ODSs:
  - by product type or application.

Accurate data may not be available for all categories of consumption or use, in which case estimates should be given. Identify the source of the figures (for example customs records, trade association, industry estimate).



Table 2.2: Consumption in [YEAR] broken down by use and application

User sector/use	Substance	Application	Consumption tonnes
EXAMPLE			
Refrigeration			
Domestic	CFC-12	used in recharging	150
		used in domestically manufactured products	100
<b>Total tonnes</b>			

### 2.1.2 Forecast Consumption

Provide forecasts of the use of each substance in tonnes, and in tonnes X ODP, by product type or industrial user sector, on the following assumptions:

- no attempt is made to comply with the Protocol; and
- unconstrained quantities of controlled substances continue to be available from existing sources, at current prices.

For each substance the forecast should cover the period till 2010-2015 when the Protocol requires consumption to have been phased out. Provide an explanation of the forecasting technique used (e.g. extrapolation) or the source of the forecast (e.g. refrigerator manufacturers). Forecasts should be checked for realism against other information (e.g. market penetration implied, per capita usage rate implied). Summarize the forecasts for each of the four groups of controlled substances, in tonnes x ODP. Graphs should be used where possible.

### 2.2 Industry Structure

Provide an outline of the structure and ownership of the industries producing, importing and using ODSs:

- production:
  - company name;
  - ownership (e.g. private, public, subsidiary of group, government, multinational);
  - substances produced;
  - capacities (tonnes per year);
  - current annual production in tonnes by substance;
  - analysis of production by use or sector or direct export;
  - feedstock sources (local or imported, common ownership or independent).
- importers of ODSs as chemicals:
  - current annual imports, in tonnes, by substance;
  - identity of producers or suppliers or country of origin;
  - identity of customers or user sectors.
- users (including servicing workshops):
  - substance;
  - nature of use (e.g. foam blowing, recharging fridge);
  - name of company;
  - ownership;
  - current annual use;
  - brief description of manufacturing facilities;
  - brief description of service sector.

Not all of the information will be readily available, and in some cases only generic descriptions of the structure of an industrial subsector will be able to be provided (for example, many small firms in the unorganized sector).

### 2.3 Institutional Framework

Describe the institutional arrangements relevant to implementing the commitment to phase-out of consumption of

ODSs, including:

- the government departments and agencies, non-governmental organizations, industry/trade association, and consumer groups involved; and
- the role and responsibilities of each.

## **2.4 Policy Framework**

Describe the relevant policy framework within which the phase-out of ODSs will be managed. This should specifically address the question of whether government policy normally relies on, for example, fiscal policies, command and control methods or voluntary agreements to promote changes such as phasing out ODSs, how successful these have been in the past, and whether it is considered necessary and appropriate to maintain consistency with these policies. Specify current laws and regulations available to empower actions, and identify any additional laws and regulations required.

Outline any relevant policies relating to industrial development, including:

- ownership of companies in particular sectors of the economy;
- sectoral preferences for indigenous production/manufacturing as opposed to imports;
- the powers held by government to implement these policies.

## **2.5 Government and Industry Responses to the Protocol**

Describe significant actions already taken by government or by the production and user industries in response to the Protocol, including:

- dates of signing and of ratifying the Protocol;
- laws or regulations introduced to confirm ratification of the Protocol;
- actions by government to cause consumption to reduce (e.g. ban on use of ODSs in aerosols);
- organizations set up to deal with Protocol issues;
- assistance requested and provided by Implementing Agencies;
- publicity and awareness campaigns; and
- actions by industry to introduce substitutes and alternatives (for example, negotiation of supplies of substitute or alternative substances and of necessary technologies). Where costs are known to have been incurred by Government departments and agencies, or by industry, describe the nature of the costs incurred and an estimate of the amount.

# **3. IMPLEMENTING PHASE-OUT**

## **3.1 Strategy Statement by Government**

Provide a clear statement of the strategic objectives and constraints on which the preferred Action Plan (Section 3.2 following) is based. This may include:

- minimizing the country's consumption of ODSs;
- reliance on existing legal framework;
- continuing fulfillment of the demand for products currently made with or using ODSs;
- compliance with the Protocol limits on consumption;
- minimum economic cost to the country of phasing out;
- continuing consistency with industrial development policies.

This list is not exhaustive and not all the points may be appropriate to a country. Present the phase-out schedule for each group of substances, giving the planned consumption by year, in tonnes X ODP, and the year when zero consumption is achieved (graphical presentation is preferred).

## **3.2 Action Plan**

### **3.2.1 Government Actions**

Identify all the actions government intends to initiate in order to implement the phasing out of ODSs. These actions will be consistent with the strategy described in Section 3.1. For each action, specify its intended or expected effect on the use of ODSs and/or on the demand for products made with or containing ODSs. Effects should be described quantitatively, and relevant evidence of industry and consumer responses to similar actions by government should be given, if available. Examples of possible actions by government include:

- administrative bans or consumption limits imposed on specific substances or uses;

- bans or quotas on imports, using import licenses or permits, applying to specific substances, groups of substances, or uses;
- taxes and levies on imports, production or uses of specific substances, to affect market prices and market preferences;
- grants or loans to support investment in producing or using substitutes and alternatives;
- training and awareness campaigns; and
- voluntary agreements with companies or industry groups under which they commit to change to substitutes and alternatives without further action by government.

Government may also choose to take no explicit actions if convinced that supply constraints will force users to eliminate their use of ODSs, and that potential suppliers of substitutes and alternatives, and of necessary technology will support users in changing over.

### 3.2.2 Projects

Describe in order of priority each identifiable project which is being, or is expected to be, undertaken within producer and user industries in response to the government's commitment to phase-out consumption of ODSs. For each identified project, provide:

- the company and site, or the industry sector in the case of a project affecting the whole sector;
- a brief description of the purpose and nature of the project;
- the planned or actual start date;
- the source of any required design, advice, license or other technical input to the project from outside the company or industry sector;
- the benefit of the project, expressed if possible in tonnes of controlled substance not consumed;
- the incremental cost of the project;
- the extent to which the company or industry sector has been consulted on the project and has agreed to it.

A more detailed description for projects for the initial three-year period should be provided.

### 3.3 Roles in Implementing the Strategy

Identify the lead agency (national) that will take responsibility for implementation of the country programme. Also identify all the important organizations who will contribute to the implementation of the strategy (e.g. government departments, industry associations, Implementing Agencies of the Fund). This may include identification of any financial intermediary who will handle funding from the Multilateral Fund within the country.

Assistance expected from bilateral and in-kind sources could also be included.

### 3.4 Timetable and Consumption Implications

For each group of ODSs, present in graphical form:

- the total forecast consumption, from section 2.1.1, in tonnes X ODP;
- the total planned consumption in tonnes x ODP; and
- the Protocol's limits on consumption.

State the estimated total incremental cost to the country of the planned phase-out.

### 3.5 Budget and Financing Programme

Provide an estimate of the net costs to be incurred by government in implementing the Action Plan. Figures should be provided for each year until phase-out is forecast to be achieved.

Totals for each year should be analyzed into:

- revenue costs incurred by government analyzed by, for example, administration, training, tax collection;
- grant and loan assistance being sought from Fund (net of capital and interest payments), analyzed by company or industry sector, and with an indication of the purpose of each grant or loan;
- the financial and in kind support to be provided from other sources (bilateral, regional, own).

Where government expects to receive increased tax or duty revenue, as a result of new or increased taxes, these receipts should be included.

#### 3.5.1 Project funding priorities

List projects (in order of priority) to be undertaken within industry for which it is intended to make application to the Interim Multilateral Fund for assistance. For each project, provide:

- company or industry sector;
- description and purpose of the project;
- start year;
- an estimate of the amount of assistance to be sought from the Fund;
- whether the project has been agreed with an Executing Agency of the Fund (give the identity) and whether it is included in the agency's work programme; and
- the reduction in the amount of each specific substance which will result from the project (this is not applicable to all projects).

Where it is intended or agreed that assistance will be obtained from bilateral sources and/or in kind rather than in cash, the source, and the amount or the form of assistance should be given. [Applications for assistance with specific projects should be made to the Implementing Agencies of the Fund through the Fund Secretariat].

### **3.6 Monitoring Arrangements**

Describe the government's proposals for:

- monitoring the annual consumption of ODSs in the country and the extent to which consumption is less than Protocol limits;
- monitoring the effectiveness of government actions in achieving their intended results;
- monitoring the implementation of projects identified in the Action Plan.

These proposals may include:

- reporting by customs of the quantities of ODSs at the point of import;
- arrangements with industry groups and trade associations that they should operate recording and reporting systems;
- direct arrangements with major suppliers and their agents on reports quantities supplied, planned and actual supply of substitutes, and user sectors;
- direct arrangements with user sectors to report quantities used, planned and actual use of substitutes and alternatives and planned phase-out dates.

This section should also describe government's proposals for reporting progress being made to the Fund.

## **III. COUNTRY PROGRAMME EVALUATION CRITERIA**

The following criteria will assist the Fund Secretariat in its evaluation of country programmes:

### **1. COMPLETENESS**

The purpose of this section is to establish that the Country Programme is complete. There are two questions:

- does the Country Programme include all the necessary elements?
- is each element dealt with adequately, or are satisfactory explanations provided for omissions? (a check list of contents should be used).

### **2. PERFORMANCE**

The purpose of this section is to establish the overall effectiveness of the country programme in reducing and eliminating ODSs consumption. All consumption figures are in tonnes X ODP. The attached table provides for all necessary performance information:

- the most recent year's figures for actual (or estimated) consumption (column A);
- the planned total consumption until phase-out is achieved, where "planned" refers to the figures presented in the phase-out schedules in the country programme (column B); and
- the year in which phase-out of the consumption of all substances in the group is achieved (column C);

All the above measures are given for all five Groups from Annexes A and B. In addition, totals are required for column A (current annual consumption) and column B (total consumption to phase-out). The form also asks for the total incremental cost to the country of implementing the Country programme. This is then divided by the total of column A (current annual consumption) to give an estimate of the economic cost-effectiveness of the Country Programme as incremental cost per tonne X ODP/ODSs consumption eliminated.

### 3. ACTION PLAN

This section is intended to allow the likely effectiveness of the Country Programme Action Plan to be assessed.

#### 3.1 Government Actions

The table below summarizes Government's intended actions. For each action, the year in which it is taken, or started in the case of a continuing action, should be given, followed by a brief description of the action, and a statement of its intended effect. Each action should be considered in the context of its intended effect and of any evidence of similar previous actions by government, in order to reach a judgment as to whether the proposed actions appear to be adequate, both individually and in total:

First Year	Description of Action	Intended Effect
Commentary:	- discuss whether actions appear to be adequate - are actions consistent with government policies?	

#### 3.2 Projects

The table below allows brief details of all identified projects to be summarized. The table requires the first year of the project to be entered, followed by a brief description and the sector affected. This could be the production or user (manufacturing) sector. The table then requires the project incremental cost to be given (that is, the amount for which application could be made to the fund for assistance. Where assistance will be sought other than as grant or loan, for example technical or in-kind assistance, this should be noted. The next column requires an estimate of the reduction in ODSs consumption (in tonnes X ODP) resulting from the project. This figure is the annual consumption at current or most recent rates which will be avoided as a result of carrying out the project. The final column allows the cost-effectiveness of each project to be presented as project incremental cost/reduction in ODSs consumption. The numerator and denominator are taken from the previous two columns. The lower the number the more cost effective the project. In addition, it is appropriate to note which if any projects are for demonstration purposes, with replication potential elsewhere, and also whether any projects have a regional significance beyond the country boundary.

First Year	Description of Project	Sector Affected	Project	ODSs Reduction (tonnes X ODP)	Project Cost
Commentary:					- observations on \$/tonne ratios - are any projects for demonstration purposes? - do any projects have regional significance?

**COUNTRY PROGRAMME COVER SHEET**

Country \_\_\_\_\_ Date Received \_\_\_\_\_

Lead National Agency: \_\_\_\_\_ Period covered by Lead

Implementation Agency \_\_\_\_\_ Country Programme \_\_\_\_\_

**1. Phase-out Schedule**

Substances	Current consumption (tonnes x ODP) in (year)	Planned total consumption till phase-out (tonnes x ODP)	Planned year phase-out
CFC-11 CFC-12 CFC-113 Halon 1211 Halon 1301 CTC MTC			
Total:			

**2. Government Action Plan**

Year(s)	Description of action	Sector (if any)	Intended effect	Estimated costs

**3. Project Summary**

Year (s)	Type of project	Project description	Project cost	Incremental cost	Participating Implementing Agencies (if any)	Tonnes x ODP Phased Out

Project types include: pre-investment, training, workshops, information transfer, capital.

**4. Costs**

Cost of Activities and Projects in Country Programme (US \$)

Estimated cost of complete phase-out (US \$)

Estimated cost effectiveness (US \$)


per tonne x ODP

**5. Comments**

*(UNEP/OzL.Pro/ExCom/5/16 Annex III).*



## ANNEX VIII.2: FORMAT FOR COUNTRY PROGRAMME UPDATE

## Part I Review of implementation of the current country programme

## I.1 ODS phase-out

ODS	Consumption/production in C.P. (in tonne/ODP)	Year of data	Phase-out achieved (in tonne/ODP)	Compliance baseline (in tonne/ODP)	Latest consumption (in tonne/ODP)	Latest consumption year (in tonne/ODP)	Comments
CFC							
Halons							
MB							
TCA							
CTC							

## I.2 Industry conversion

Sector	Consumption in C.P. (ODP ton)	Year of data	No. of plants in C.P.	No. of plants converted	ODS phased out (ODP ton)	Funds received (US\$)	Estimated No. of plants to be converted	ODS consumption (ODP ton)	Comments
Refrigeration									
Manufacturing									
Servicing									
Foams									
Aerosol									
Solvents									
Halons									
Manufacturing									
Servicing									
Fumigant									
Total									

## I.3 Government actions

Policy	Proposed in C.P. (Y/N)	Year of implementation in C.P.	Status of implementation (Y/N)	Year of implementation	Comment if experiencing delay
Control on ODS import					
Control on import of ODS-containing equipment					
Ban ODS import					
Ban on import of ODS-containing equipment					
Ban on new uses of ODS					

## I.4 Overall assessment of the implementation of the current country programme

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## NOTES:

Review of implementation of the current country programme

I.1 ODS phase-out should include an update on the phase-out achieved and the remaining consumption to be phased out under each Annex/Group of controlled substances of the Montreal Protocol.

- I.2 Industry conversion should include an update on number of plants which have already completed their industrial conversions and an estimated remaining number of plants that have not been converted for each ODS consuming sector and sub-sector, especially remaining manufacturing plants with significant ODS consumption.
- I.3 Government actions should include an update on the implementation of the policy controls such as: control of ODS imports; control of import of equipment that contains ODS, and control on new uses of ODS.
- I.4 Overall assessment of the current country programme implementation should describe the experiences and lessons learned in the country programme implementation up to the time of preparing the update. Among other things, it should include such items like relation between policies and industry conversions, the interaction between non-investment and investment activities, the role of Implementing Agencies versus that of the government and others.

**Part II Country programme update**

**II.1 Schedule and action plan for implementing compliance**

A schedule with an action plan, as shown below, should be prepared for each controlled substance consumed/produced in the country according to the Montreal Protocol schedule. The schedule could be adjusted according to national circumstances if the government concerned intends to implement an accelerated phase-out.

**Schedule and action plan for implementing CFC compliance**

Year	Phase-out schedule		Envisaged reduction from approved projects (ODP ton)	Envisaged reduction from new approvals (ODP ton)	Means of delivery foreseen*	Gov. planned action(s)	Estimated additional funding needed (US\$)	Source of funding (national and Multilateral Fund)	Types of funding (investment and/or non-investment)
	Montreal Protocol	Accelerated							
1999	Baseline								
2000									
2001									
2002									
2003									
2004									
2005	50% reduction								
2006									
2007	85% reduction								
2008									
2009									
2010	Total phase-out								

\* Could be performance-based sector-wide or substance-wide agreements, individual or umbrella projects, RMP, and others.

**II.2 Review and updating**

<b>Year of plan:</b>		
<b>Target in the schedule and action plan</b>	<b>Implementation at end of year</b>	<b>Comments</b>
ODS reduction	Achieved (Y/N)	
Reduction from approved projects	Achieved (Y/N)	
Reduction expected from new projects	Achieved (Y/N)	
Government policy control	Implemented (Y/N)	
Overall assessment	Satisfactory (Y/N)	
Corrective action needed	Y/N	
Revision of schedule and action plan	Y/N	

**II.3 Implementation mechanism planned**

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**NOTES:**

II.1 Schedule and action plan for implementing compliance which should be done for each Annex/Group of controlled substances consumed/produced in the country, using the format. While compliance with the Montreal Protocol schedule is expected, an accelerated phase-out schedule could be prepared if it is the desire of the government. For each substance data is required for:

- schedule of the reductions, by year if possible, needed to implement compliance for each Annex/Group of controlled substances starting from the year of the preparation of the country programme update;
- the envisaged amount of reduction to be realized from projects under implementation;
- the envisaged amount of reduction to be achieved from projects to be approved in the year;
- government actions planned to be implemented to achieve reductions;
- additional funding estimated for new projects, specifying sources of funding (national or Multilateral Fund) and types of funding (national or Multilateral Fund) and types of funding (investment and/or non-investment);
- means of delivery foreseen could include performance-based sector-wide or substance-wide agreements, individual or umbrella projects, RMPs and others.

II.2 Review and updating. The schedule and action plan for implementing compliance of each Annex/Group of controlled substances are intended as a dynamic document to assist the government concerned to monitor implementation of its compliance with the Montreal Protocol. Therefore the government should update it as it deems necessary in terms of its strategic planning needs.

II.3 Implementation mechanism planned should include a description of the institutional arrangements both within and without the country to implement the strategy. It should include a discussion of the planned implementation modality, e.g. project by project approach or a sector-wide and substance-wide performance-based agreement; and the role of the government and that of the Implementing Agencies.

**Part III Performance-based national phase-out agreement**

Countries which are ready to conclude a performance-based national phase-out agreement should provide:

**III.1 Total budget**

Element/Year	Year 1	Year 2	Year 3	Year 4*
Total				

\*Till the completion of the agreement

**III.2 Performance milestones and disbursement schedule**

Year	Milestones	Disbursement

**III.3 Verification and reporting**

Institution for conducting the verification:

Frequency of verification and reporting:

**NOTES:**

**Performance-based national phase-out agreement**

This part is required only when a country is ready to conclude a performance-based national phase-out agreement with the Executive Committee and take full ownership of the national phase-out programme.

- III.1 **Total budget** should include total cost of implementing the agreement and a breakdown of the cost elements.
- III.2 **Performance milestones and disbursement schedule** should include a list of quantifiable performance indicators to measure progress and a schedule of funds to be released upon verified achievement of the performance milestones.
- III.3 **Verification and reporting** should describe the monitoring system to be established for verification and reporting on progress in the implementation of the agreement.

*(UNEP/OzL.Pro/ExCom/35/67, Decision 35/58, para. 126).*

*(Supporting document: UNEP/OzL.Pro/ExCom/35/62).*

**ANNEX VIII.3: FORMAT FOR PRESENTATION OF INFORMATION ON PROGRESS OF IMPLEMENTATION OF COUNTRY PROGRAMMES**

The following information should be provided on progress of implementation of country programme:

Reporting period: From: 1 January To: 31 December 19...

**I. Background information**

1. Country
2. Date country programme was approved
3. National focal point for country programme implementation
4. Lead Implementing Agency for country programme preparation
5. Planned date of complete phase-out of ODS
  - Annex A
  - Annex B
  - Annex C (optional).
6. Total consumption of ODS at the time of approval of country programme (Tonnes ODP).
7. Current total consumption of ODS (Tonnes ODP) (19...).
8. Current per capita consumption (kg) (19...).
  - Annex A
  - Annex B
  - Annex C (optional).
9. Funds approved to date for activities in the country programme (US \$).
10. Funds disbursed to enterprises/institutions in the country to date (US \$):

**II. Action Plan**

11. Actions taken. Please list in the attached Appendix I the legal, administrative or other supportive actions taken to date and their effect or intended effect.

**III. Phase-out Activities (includes all activities for which funding is required).**

12. Major ODS consuming sector(s) in ODP tonnes as per the country programme
13. Number of activities in the country programme for which funds are required and budgeted in the country programme
14. Number of activities developed and submitted to the Executive Committee for approval and funding (including deferred and/or unapproved projects).
15. Number of activities for which funds have been approved
16. Number of activities for which funds have been received in the country
17. Number of activities currently under preparation
18. Progress of phase-out. Please list in Appendix II the activities undertaken towards the phase-out of ODS in the country
19. If institutional strengthening funds have been approved, indicate the date the ozone protection unit became or is expected to become operational
20. Expected date of review of country programme

**IV. Evaluation**

21. Please evaluate the progress of implementation of the planned actions in the country programme according to the following criteria:  
(1) Slower than scheduled (2) On schedule (3) Faster than scheduled

Action	Progress
Legislative and administrative actions	
Institutional strengthening	
Country programme preparation	
Training	
Demonstration	
Other technical assistance activities (please state)	
Investment projects	

22. Comments. Please provide any pertinent comments relating to the progress of implementation of the country

programme. (Attach separate sheet if necessary).

Name and Signature of Officer Reporting:

Designation:

Office Address:

Date:

**Appendix I: Action Plan**

Date/Year	Actions proposed in the Country Programme	Action Taken	Effect/Intended Effect

May include laws enacted, regulatory or administrative actions, publicity campaigns and other actions in the Action Plan taken to facilitate implementation of the country programme.

**Appendix II: Phase-out activities**

**A. Approved Activities**

Project/Activity	Type	Date of approval	ODS to be phased out and year	I.A.	Funds (US \$)		Time frame	ODS actually phased out and year	Date of completion	Status
					Allocated	Disbursed				

**B. Activities under preparation**

Project/Activity	Sector or Type	Implementing agency	Estimated cost (US \$)	ODS to be phased out (tonnes ODP)	Planned date of submission to the Executive Committee

Include all activities for which funds are required from the Multilateral Fund.  
(UNEP/OzL.Pro/ExCom/13/47 Annex II).

ANNEX VIII.4: PROGRESS OF IMPLEMENTATION OF COUNTRY PROGRAMMES

REVISED COUNTRY PROGRAMME REPORT FORMAT																
COUNTRY:	XXXX		YEAR: January to December of the year							YYYY						
<b>A. Data on Controlled Substances (in METRIC TONNES)</b>																
<b>NOTE: Data entry is required in UNSHADED cells only</b>																
Substance <sup>1</sup>	Use by Sector										TOTAL	Import	Export <sup>2</sup>	Production <sup>3</sup>	Remarks (e.g. stockpiling if use is different from consumption)	
	Aerosol	Foam	Fire Fighting	Refrigeration		Solvent	Process agent	MDI	Lab Use	Methyl bromide <sup>*</sup>						Tobacco fluffing
				Manufacturing	Service					QPS	Non-QPS					
<b>Annex A, Group I</b>																
CFC-11																0.00
CFC-12																0.00
CFC-113																0.00
CFC-114																0.00
CFC-115																0.00
<b>Sub-Total</b>	0.00	0.00		0.00	0.00	0.00	0.00	0.00	0.00			0.00	0.00	0.00	0.00	0.00
<b>Annex A, Group II</b>																
Halon 1211																0.00
Halon 1301																0.00
Halon 2402																0.00
<b>Sub-Total</b>			0.00													0.00
<b>Annex B, Group I</b>																
CFC-13						0.00										0.00
<b>Sub-Total</b>						0.00										0.00
<b>Annex B, Group II</b>																
Carbon tetrachloride									0.00							0.00
<b>Sub-Total</b>									0.00							0.00
<b>Annex B, Group III</b>																
Methyl chloroform																0.00
<b>Sub-Total</b>							0.00	0.00		0.00						0.00
<b>Annex C, Group I</b>																
HCFC-22																0.00
HCFC-141b																0.00
HCFC-141b in Imported Pre-blended Polyol																0.00
HCFC-142b																0.00
HCFC-123																0.00
HCFC-124																0.00
HCFC-133																0.00
HCFC-225																0.00
HCFC-225ca																0.00
HCFC-225cb																0.00
Other <sup>3</sup>																0.00
Other <sup>3</sup>																0.00
<b>Sub-Total</b>	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00		0.00						0.00
<b>Annex E</b>																
Methyl bromide																0.00
<b>Sub-Total</b>										0.00	0.00					0.00
<b>TOTAL</b>	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

\* QPS = Quarantine and pre-shipment. Non-QPS = Non-quarantine and pre-shipment.  
<sup>1</sup> Where the data involves a blend of two or more substances, the quantities of individual components of controlled substances must be indicated separately.  
 e.g. For R502 consisting of 51.2% CFC-115 and 48.8% HCFC-22, indicate the total quantity of each controlled substance (i.e., CFC-115 and HCFC-22) in the appropriate row.  
<sup>2</sup> Where applicable.  
<sup>3</sup> Indicate relevant controlled substances.



XXXX			
C. Quantitative assessment of the phase-out programme			
Description	Quantity/Unit		Remarks
<b>Import quotas/licenses issued (metric tonnes)</b>			
CFC-11			
CFC-12			
CFC-113			
CFC-114			
CFC-115			
Halon 1211			
Halon 1301			
Carbon tetrachloride			
Methyl chloroform			
Methyl bromide			
HCFC-22			
HCFC-141b			
HCFC-141b in Imported Pre-blended Polyol			
HCFC-142b			
HCFC-123			
HCFC-124			
HCFC-133			
HCFC-225			
HCFC-225ca			
HCFC-225cb			
<b>Export quotas/licenses issued (metric tonnes)</b>			
CFC-11			
CFC-12			
CFC-113			
CFC-114			
CFC-115			
Halon 1211			
Halon 1301			
Carbon tetrachloride			
Methyl chloroform			
Methyl bromide			
HCFC-22			
HCFC-141b			
HCFC-141b in Imported Pre-blended Polyol			
HCFC-142b			
HCFC-123			
HCFC-124			
HCFC-133			
HCFC-225			
HCFC-225ca			
HCFC-225cb			
<b>Average estimated retail price of ODS/substitutes (US\$/kg)</b>			
CFC-11			
CFC-12			
CFC-113			
CFC-114			
CFC-115			
R-502			
HCFC-22			
HCFC-141b			
HCFC-141b in Imported Pre-blended Polyol			
HCFC-142b			
HCFC-123			
HCFC-124			
HCFC-133			
HCFC-225			
HCFC-225ca			
HCFC-225cb			
HFC-134a			
R-404A			
R-507A			
R-410A			
R-407C			
HFC-245fa			
HFC-356mfc			
HFC-227ea			
Isobutane (HC-600a)			
Propane (HC-290)			
Pentane			
Cyclopentane			
Methyl formate			
MDI (for production of foam)			
<b>Training programmes</b>	<b>HCFC</b>	<b>ALL OTHER ODS</b>	
Number of trainers for customs			
Number of customs officers trained			
Number of trainers for technicians			
Number of technicians trained			
Number of technicians certified			
<b>Recovery/recycling/reused (metric tonnes where applicable)</b>	<b>HCFC</b>	<b>ALL OTHER ODS</b>	
Estimated CFC-11 recovered with equipment funded by Multilateral Fund			
Total CFC-11 recovered			
Estimated CFC-11 reused with equipment funded by Multilateral Fund			
Total CFC-11 reused			
Estimated CFC-12 recovered with equipment funded by Multilateral Fund			
Total CFC-12 recovered			
Estimated CFC-12 reused with equipment funded by Multilateral Fund			
Total CFC-12 reused			
Estimated HCFC-22 recovered with equipment funded by Multilateral Fund			
Total HCFC-22 recovered			
Estimated HCFC-22 reused with equipment funded by Multilateral Fund			
Total HCFC-22 reused			
Number of funded recovery machines in operation			
Number of funded recovery machines not in operation			
Number of funded recycling machines in operation			
Number of funded recycling machines not in operation			
Number of funded end-users converted			
Number of funded end-users retrofitted			

**D. Qualitative assessment of the operation of RMP/NPP/TPMP**

1. Is the RMP/NPP/TPMP and its components (recovery and recycling programmes, training of technicians and customs, and legislation) proceeding as scheduled:

- Yes  
 No  
 N/A RMP/NPP/TPMP already completed

If not, please specify milestones and completion dates with delays, and explain reasons for the delay and measures taken to overcome the problems: \_\_\_\_\_  
 \_\_\_\_\_

2. The ODS import licensing scheme functions:

- Very well  
 Satisfactorily  
 Not so well

Please specify problems encountered: \_\_\_\_\_  
 \_\_\_\_\_

3. The CFC recovery and recycling programme functions:

- Very well  
 Satisfactorily  
 Not so well

Please specify problems encountered: \_\_\_\_\_  
 \_\_\_\_\_

4. The RMP/NPP/TPMP will enable the Government to achieve:

- the 50% CFC reduction target in 2005  
 the 85% CFC reduction target in 2007  
 the complete phase-out of CFC in 2010

5. Additional measures that are needed and planned to assist in the implementation of the RMP/NPP/TPMP and to achieve compliance:

\_\_\_\_\_

\_\_\_\_\_

**E. Comment by bilateral/implementing agency(ies)**

\_\_\_\_\_

\_\_\_\_\_